

# Instructions

## For UCC1/EFS Forms

### Livestock Financing Statement

Type all information on the form. The form must be legible. Verify all information for accuracy and correct spelling. The information on the form will be keyed into the database exactly as submitted. Any error in the information on the form will result in reporting errors.

SDCL 57A-9-502 requires the social security number for each individual caretaker and/or the caretaker's internal revenue service (IRS) employer identification number of the Organization (business) name to be listed.

For both the organization and individual names; do not use trade names, DBA, AKA, FKA, division names etc in place of or combined with the caretaker's legal name. You may add such names as additional Caretakers if you wish. Use of D/B/A, F/K/A, or A/K/A is considered an additional caretaker and must be listed as such for accurate searches.

Individual Caretaker: "Individual" means a natural person; this includes a sole proprietorship, whether or not operating under a trade name. Complete the caretaker's proper name (first, middle initial, last), complete address and social security number. Don't use prefixes (Mr., Mrs., Ms.). Use suffix box only for titles of lineage (Jr., Sr., III) and not for other suffixes or titles (e.g., M.D.). Use married woman's personal name (Mary Smith, not Mrs. John Smith). Enter individual Caretaker's family name (surname) in Last Name box, first given name in First Name box, and all additional given names in Middle Name box.

Organization Caretaker: "Organization" means an entity having a legal identity separate from its owner. A partnership is an organization; a sole proprietorship is not an organization, even if it does business under a trade name. If Caretaker is a partnership, enter exact full legal name of partnership; you need not enter names of partners as additional Caretakers. If Caretaker is a registered organization (e.g., corporation, limited partnership, limited liability company), it is advisable to examine Caretaker's current filed charter documents to determine Caretaker's correct name, organization type, and jurisdiction of organization.

The fee for a one-page record with one caretaker is \$20.00. If there are additional caretakers, add \$2.00 for each additional caretaker listed. If there are any attachments to the first page, add a flat fee of \$4.00. Mail to: Secretary of State, 500 E. Capitol, Pierre, SD 57501.

# UCC Initial Financing Statement

## Box 1 Livestock Owner

1a or 1b: Enter only one Livestock Owner name (Organization or Individual).  
1c: Mailing address

## Box 2 Additional Livestock Owner or Assignee of Livestock Owner

If applicable; enter information for the additional Livestock Owner name or Assignee of Livestock Owner. Complete instruction from Box 1 if applicable. If there has been a total assignment of the Livestock Owner interest prior to filing this form check mark the Assignee Box or check mark the box if this is an additional Livestock Owner.

## Box 3 Caretaker's Exact Full Legal Name

3a or 3b: Enter only one Caretaker name (Organization or Individual). Use caretaker's exact full legal name. Do not abbreviate.  
3c: Mailing address  
3d: Social Security Number for the individual caretaker or the IRS-EIN for the organization name.

Additional required information for Organization Caretaker Names only.

3e: Type of Organization; describes the organization such as Inc., LLP LP, etc.  
3f: Jurisdiction of Organization; this is the two character U.S. Postal identification of the state where the Organization papers are filed.  
3g: Organizational ID Number; if any is assigned by the agency where the charter document was filed; this is different from the tax ID#. If agency does not assign an organizational ID #, check the box in 3g indication 'none'.

## Box 4 Additional Caretaker's Exact Full Legal Name

If an additional Caretaker is included, follow instructions from box 3.

## Box 5 Collateral

You should describe the livestock being placed with the Caretaker as completely as possible in this portion of the record.

The description may include quantity, type, breed, brand, ear tags, and any other information that will assist in identifying your livestock.

Check the proceeds or products boxes if applicable.

## Signatures

When filing any type of UCC, there must be a signed agreement between both parties pursuant to SDCL 57A-9-509. The signed agreement does not need to be filed, but a signed agreement must exist for the UCC filing to be effective. If you do not have a security agreement authorizing you to file records for your caretaker, you will have the caretaker sign on the line indicated and you will sign on the line indicated for the livestock owner.

# UCC/EFS Initial Financing Statement

## **To file a UCC record with an EFS (effective financing statement)**

The EFS notifies purchasers of farm products to place the livestock owner's name or any sales proceeds check for livestock described in the EFS.

Follow the instructions to file a UCC initial financing statement.

**List the Farm Code** and the name of the farm product from the farm product list.  
For example: 5001 – beef cattle / calves

A separate line must be used for each entry.

**Complete the year.** The year for a crop grown in soil is the calendar year in which it is harvested or to be harvested. The year for animals is the calendar year in which they are born or acquired. The year for poultry or eggs is the calendar year in which they are to be sold. If "year" is left blank it covers all years.

**Complete the quantity** with the number of bushels, head of livestock or other commonly used identifier. If "quantity" is left blank it covers all of the product.

**Complete the county code** from the list. The county is the county where the farm product is produced or to be produced. In the case of stored grain or livestock, it is the county where the product is located.

**Location in County or Further Description** collateral may be further detailed by giving the location within the county (limit description to 40 characters for computer entry). If county location is left blank, record is for all of the product in the listed county.

If "year" and "quantity" are left blank, notice continues for every year the record is effective, and for all crop years during the effective period of the record.

**Pay Proceeds** to Caretaker and Livestock Owner; proceeds will be paid to both the caretaker and the livestock owner unless one of the "livestock owner only" or "caretaker only" boxes is checked.

**Signatures** of both the caretaker(s) and the livestock owner are required if the record is to be filed as an EFS.

Submit only the original copy to the filing officer. The filing officer will process and return the original showing the filing data.

Please use the following code numbers to complete the FARM PRODUCTS section of the form  
(If your product is not listed, please contact the Secretary of State's Office):

|                                   |                            |  |                             |
|-----------------------------------|----------------------------|--|-----------------------------|
| 1001 buckwheat                    | 2700 onions                | 3217 cantaloupe                        | 5601 turkeys                |
| 1002 spring wheat                 | 2800 mint                  | 3301 apples                            | 5602 ducks                  |
| 1003 winter wheat                 | 2901 popcorn               | 3302 plums                             | 5603 geese                  |
| 1005 straw                        | 2902 sunflower seeds       | 3401 strawberries                      | 5604 game birds             |
| 2001 barley                       | 3000 soybeans              | 3402 raspberries                       | 5605 ostrich                |
| 2002 rye (including<br>triticale) | 3001 field peas            | 3501 sod                               | 5701 mink and pelts         |
| 2003 oats                         | 3101 grass for seed        | 3502 nursery stock<br>(trees & shrubs) | 5702 rabbits                |
| 2004 sorghum grain                | 3102 alfalfa for seed      | 3503 flowers & potted<br>plants        | 5703 fox and pelts          |
| 2005 flaxseed                     | 3103 mustard               | 3600 mushrooms                         | 5704 lynx, bobcat,<br>pelts |
| 2006 safflower                    | 3201 green peas            | 5001 beef<br>cattle/calves             | 5705 coyote & pelts         |
| 2007 field corn                   | 3202 tomatoes              | 5002 buffalo                           | 5750 dogs                   |
| 2008 alfalfa                      | 3203 lettuce               | 5003 bison                             | 5751 cats                   |
| 2009 clover                       | 3204 cucumbers             | 5101 sheep & lambs                     | 5752 gerbils                |
| 2010 millet                       | 3205 broccoli              | 5102 wool                              | 5801 bees / hives           |
| 2011 milo                         | 3206 cauliflower           | 5103 goats                             | 5802 honey                  |
| 2012 durum                        | 3207 lima beans            | 5104 llamas                            | 5803 beeswax                |
| 2013 rape seed                    | 3208 green beans           | 5200 hogs                              | 5901 fish                   |
| 2014 canola                       | 3209 garbanzo beans        | 5301 dairy cattle                      | 6001 deer                   |
| 2015 cane                         | 3210 carrots               | 5302 milk                              | 6002 elk                    |
| 2016 sudan                        | 3211 turnips               | 5303 cream                             | 6100 worms                  |
| 2100 hay                          | 3212 asparagus             | 5401 horses                            | 6201 cattle semen           |
| 2200 ensilage                     | 3213 spinach &<br>collards | 5402 mules                             | 6202 horse semen            |
| 2300 potatoes                     | 3214 pumpkin &<br>squash   | 5501 chickens                          |                             |
| 2400 sugar beets                  | 3215 watermelon            | 5502 eggs                              |                             |
| 2500 dry beans                    | 3216 muskmelon             |  |                             |
| 2600 sweet corn                   |                            |  |                             |

Following is a list of County's and their county codes.

|                      |                    |                    |                   |
|----------------------|--------------------|--------------------|-------------------|
| Aurora..... 10       | Day .....22        | Jackson..... 39    | Perkins ..... 53  |
| Beadle ..... 04      | Deuel .....23      | Jerauld ..... 40   | Potter..... 54    |
| Bennett..... 11      | Dewey.....24       | Jones ..... 41     | Roberts..... 55   |
| Bon Homme ..... 12   | Douglas .....25    | Kingsbury ..... 42 | Sanborn..... 56   |
| Brookings ..... 06   | Edmunds .....26    | Lake ..... 43      | Shannon ..... 65  |
| Brown ..... 03       | Fall River .....27 | Lawrence ..... 09  | Spink ..... 57    |
| Brule ..... 13       | Faulk.....28       | Lincoln..... 44    | Stanley ..... 58  |
| Buffalo ..... 14     | Grant.....29       | Lyman ..... 45     | Sully..... 59     |
| Butte ..... 15       | Gregory.....30     | McCook..... 46     | Todd ..... 67     |
| Campbell ..... 16    | Haakon .....31     | McPherson..... 47  | Tripp ..... 60    |
| Charles Mix ..... 17 | Hamlin .....32     | Marshall ..... 48  | Turner..... 61    |
| Clark ..... 18       | Hand .....33       | Meade ..... 49     | Union ..... 62    |
| Clay ..... 19        | Hanson .....34     | Mellette ..... 50  | Walworth ..... 63 |
| Codington..... 05    | Harding .....35    | Miner ..... 51     | Yankton ..... 07  |
| Corson..... 20       | Hughes .....36     | Minnehaha ..... 01 | Ziebach..... 64   |
| Custer..... 21       | Hutchinson.....37  | Moody ..... 52     |                   |
| Davison ..... 08     | Hyde .....38       | Pennington..... 02 |                   |